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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/017,040	12/06/2001	John C. Hiatt JR.	113609-002

CONFIRMATION NO. 6549

FORMALITIES LETTER



\*OC00000007349026\*

Bell, Boyd & Lloyed LLC  
P.O. Box 1135  
Chicago, IL 60690-1135

Date Mailed: 01/23/2002

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

03/27/2002 BABRAHAI 00000029 10017040

130.00 IP

01 FC:105

*A copy of this notice MUST be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

1 C O C I L P R U F C - 0 3 E E C O E

MAR 25 2002

Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Large Entity)

Docket No.  
113609-002

In Re Application Of: John C. Hiatt, Jr. et al.

Serial No. 10/017,040	Filing Date 12/06/01	Examiner Unknown	Group Art Unit 2161
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Invention: **DELAYED START FINANCIAL INSTRUMENT AND METHOD FOR CONVERTING DELAYED  
START FINANCIAL INSTRUMENT TO A STANDARD OPTION**

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TO THE ASSISTANT COMMISSIONER FOR PATENTS:  
Box Missing Parts

The fee of \$130.00 is to be paid as follows:

A check in the amount of the fee is enclosed.

The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 02-1818

A duplicate copy of this sheet is enclosed.

If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No.

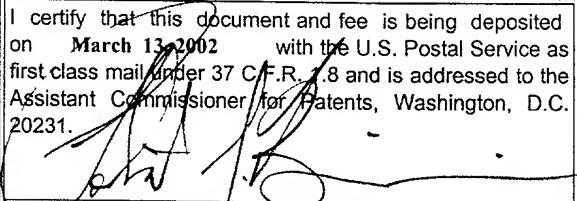
A duplicate copy of this sheet is enclosed.

  
Signature

Dated: March 13, 2002

Jeffrey H. Canfield, Esq. (38,404)  
Bell, Boyd & Lloyd LLC  
P.O. Box 1135  
Chicago, Illinois 60690-1135  
Telephone: (312) 807-4233

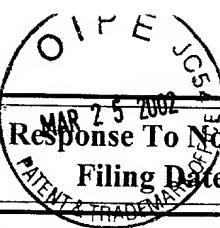
I certify that this document and fee is being deposited on March 13, 2002 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

  
Signature of Person Mailing Correspondence

Robert J. Buccieri

Typed or Printed Name of Person Mailing Correspondence

CC:



Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)

Docket No.  
113609-002

In Re Application Of: John C. Hiatt, Jr. et al.

Serial No. 10/017,040	Filing Date 12/06/01	Examiner Unknown	Group Art Unit 2161
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Invention: **DELAYED START FINANCIAL INSTRUMENT AND METHOD FOR CONVERTING DELAYED  
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ORIGINALLY FILED**

**TO THE ASSISTANT COMMISSIONER FOR PATENTS:**

**Box Missing Parts**

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
January 23, 2002  
Date

Enclosed herewith for filing are the following:

- A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). (**REQUIRED**)
- An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- Other (list):

Formal Drawings (4 Sheets); and Return Receipt Postcard.

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)**

Docket No.  
**113609-002**

In Re Application Of: John C. Hiatt, Jr. et al.

Serial No.	Filing Date	Examiner	Group Art Unit
10/017,040	12/06/01	Unknown	2161

**Invention: DELAYED START FINANCIAL INSTRUMENT AND METHOD FOR CONVERTING DELAYED START FINANCIAL INSTRUMENT TO A STANDARD OPTION**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

## Box Missing Parts

- |   |          |
|---|----------|
| <input checked="" type="checkbox"/> Completion of application fees as calculated below:   |          |
| <input type="checkbox"/> Utility application filing fee   |          |
| <input type="checkbox"/> Design application filing fee  |          |
| <input type="checkbox"/> Total number of independent claims =   |          |
| <input type="checkbox"/> Total number of claims =   |          |
| <input type="checkbox"/> Multiple dependent claims  |          |
| <input checked="" type="checkbox"/> Surcharge for late payment of filing fee and/or late filing of original declaration or oath | \$130.00 |
| <input type="checkbox"/> Petition and fee for filing by other than all the inventors or a person not the inventor               |          |
| <input type="checkbox"/> Fee for processing an application filed with a non-English language specification                      |          |
| <input type="checkbox"/> Fee for processing and retention of application  |          |
| Total completion of application fees  | \$130.00 |

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

- One month     Two months     Three months     Four months     Five months

from:

until:

Data

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1

### Total time extension fees

Total fees due \$130.00